駿達證券有限公司
Tiger Faith Securities Limited

Checklist to "Professional Investor" Client

Please tick the first box in EITHER Section 1 OR Section 2 as appropriate.

Section 1: Professional Investor under Part 1 Schedule 1 SFO

☐ The client is a person described in paragraphs (a) to (i) of the definition of "*professional investor*" in Part 1 of Schedule 1 of the Securities and Futures Ordinance (e.g. such as any SFC licensed person or any regulated financial institution, etc.) and agrees to be treated as such. (If not, please continue with Section 2)

Section 2: Classification as Professional Investor

☐ The client is a person described in paragraph (j) of the definition of "professional investor" in Part 1 of Schedule 1 of the SFO as listed below (please select ONE below) and agrees to be treated as such:

☐ 1) A high net worth individual investor, either alone or with his/her spouse or children on a joint account, having a portfolio of cash held for such person or persons by a custodian and/or securities of not less than HK$8 million (or its foreign currency equivalent) at the relevant date;

☐ 2) A corporation or partnership having a portfolio of cash held for it by a custodian and/or securities of not less than HK$8 million (or its foreign currency equivalent) or total assets of not less than HK$40 million (or its foreign currency equivalent) at the relevant date;

☐ 3) A trust corporation having been entrusted under the trust(s) of which it acts as trustee with total assets of not less than HK$40 million (or its foreign currency equivalent) at the relevant date; or

☐ 4) A corporation, whose sole business is to hold investments and which is wholly owned by Individual, Corporation Partnership or Trust/Corporation as described above.

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Please attach documentary evidence sufficient to verify the client's financial status as above

PID 201811

In relation to the products and markets to which the Company will be providing us, the client confirms that he/she/it has investment experience as below: (please tick as appropriate)

- ☐ Having experience in those type of products in relation to the relevant product and markets;
- ☐ Having entered into not less than 40 investment transactions in the past year;
- ☐ Having experience dealing for at least 2 years in the relevant markets (or markets with similar characteristics);
- ☐ Having knowledge and expertise about the relevant product and markets; and
- ☐ Being aware of the risks involved in trading in the relevant products and / or markets.

Signature of Licensed Person: ____________________________

Name:______________________________________

Date: _______________

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